

# APPENDIX “A”



10K 703/9/43  
UNITED STATES DEPARTMENT OF COMMERCE  
Patent and Trademark Office

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MARCH 23, 2001

PTAS



\*101581449A\*

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MICHAEL D. KAMINSKI  
WASHINGTON HARBOUR  
3000 K STREET, N.W., SUITE 500  
WASHINGTON, D.C. 20007-5109

UNITED STATES PATENT AND TRADEMARK OFFICE  
NOTICE OF RECORDATION OF ASSIGNMENT DOCUMENT

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PLEASE REVIEW ALL INFORMATION CONTAINED ON THIS NOTICE. THE INFORMATION CONTAINED ON THIS RECORDATION NOTICE REFLECTS THE DATA PRESENT IN THE PATENT AND TRADEMARK ASSIGNMENT SYSTEM. IF YOU SHOULD FIND ANY ERRORS OR HAVE QUESTIONS CONCERNING THIS NOTICE, YOU MAY CONTACT THE EMPLOYEE WHOSE NAME APPEARS ON THIS NOTICE AT 703-308-9723. PLEASE SEND REQUEST FOR CORRECTION TO: U.S. PATENT AND TRADEMARK OFFICE, ASSIGNMENT DIVISION, BOX ASSIGNMENTS, CG-4, 1213 JEFFERSON DAVIS HWY, SUITE 320, WASHINGTON, D.C. 20231.

RECORDATION DATE: 01/09/2001

REEL/FRAME: 011416/0239  
NUMBER OF PAGES: 5

BRIEF: ASSIGNMENT OF ASSIGNOR'S INTEREST (SEE DOCUMENT FOR DETAILS).

ASSIGNOR:

STOKES, EDWARD BRITTAIN

DOC DATE: 11/29/2000

ASSIGNOR:

MCNULTY, THOMAS FRANCIS

DOC DATE: 11/29/2000

ASSIGNOR:

DOXSEE, DANIEL DARCY

DOC DATE: 11/21/2000

ASSIGNOR:

SRIVASTAVA, ALOK MANI

DOC DATE: 11/29/2000

ASSIGNOR:

LEVINSON, LIONEL MONTY

DOC DATE: 12/03/2000

ASSIGNOR:

DUGGAL, ANIL RAJ

DOC DATE: 12/14/2000

ASSIGNEE:

GENERAL ELECTRIC COMPANY  
P.O. BOX 8  
SCHENECTADY, NEW YORK 12301

011416/0239 PAGE 2

SERIAL NUMBER: 09642655  
PATENT NUMBER:

FILING DATE: 08/22/2000  
ISSUE DATE:

PAULA MCCRAY, EXAMINER  
ASSIGNMENT DIVISION  
OFFICE OF PUBLIC RECORDS

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01-16-2001

HEET

U.S. DEPARTMENT OF COMMERCE

Patent and Trademark Office

MRD 1-9-01



To the Director of the United States Patent

101581449

Attached original documents or copies thereof.

## 1. Name of conveying party(ies):

Edward Brittain STOKES (11/29/00)  
 Thomas Francis MCNULTY (11/29/00)  
 Daniel Darcy DOXSEE (11/21/00)  
 Alok Mani SRIVASTAVA (11/29/00)  
 Lionel Monty LEVINSON (12/3/00)  
 Anil Raj DUGGAL (12/14/00)

## 2. Name and address of receiving party(ies):

GENERAL ELECTRIC COMPANY  
 P.O. Box 8  
 Schenectady, New York 12301



Additional conveying party(ies) attached? NO

## 3. Nature of conveyance:

ASSIGNMENT

Execution Date:

Same as above

Additional name(s) &amp; address(es) attached? NO

## 4. Application number(s) or patent number(s):

If this is being filed together with a new application, the execution date of the application is:

A. Patent Application Number(s):

09/642,655

B. Patent Number(s):

Additional numbers attached? NO

## 5. Name and address of party to whom correspondence concerning document should be mailed:

Michael D. Kaminski  
 FOLEY & LARDNER  
 Washington Harbour  
 3000 K Street, N.W., Suite 500  
 Washington, D.C. 20007-5109

## 6. Total number of applications/patents involved: 1

7. Total fee (37 C.F.R. § 3.41): \$40.00

☒ Check Enclosed

Charge to deposit account

8. Deposit account number: 19-0741

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## 9. Statement and signature:

*To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document. The Commissioner is hereby authorized to charge any additional recordation fees which may be required in this matter to the above-identified deposit account.*

Michael D. Kaminski

January 9, 2001

Name of person signing

Signature

Date

Total number of pages including cover sheet, attachments, and document: 5

01/16/2001 DNGUYEN 00000222 09642655

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**ASSIGNMENT**

GE RD 27,929

Attorney Docket No. 040849/0143

In consideration of One Dollar and Other good and valuable consideration, of which I acknowledge receipt, I (we)  
Edward Brittain STOKES of 2631 Rosendale Road, Niskayuna, NY 12309  
Thomas Francis MCNULTY of 4C Sorrel Ct., Ballston Lake, NY 12019  
Daniel Darcy DOXSEE of 8512 Greenbrier Court, Sagamore Hills, OH 44067  
Alok Mani SRIVASTAVA of 1378 Philomena Road, Niskayuna, NY 12309  
Lionel Monty LEVINSON of 1 Linda Lane, Schenectady, NY 12309  
Anil Raj DUGGAL of 2322 Algonquin Road, Niskayuna, NY 12309  
of  
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of

sell and assign to General Electric Company, a New York Corporation, its successors and assigns the entire right, title and interest in and to the improvements in:

**SOLID STATE ILLUMINATION SYSTEM CONTAINING A LIGHT EMITTING DIODE, A LIGHT SCATTERING MATERIAL AND A LUMINESCENT MATERIAL**

invented by me (us), as described in the application for United States patent

- ☐ executed concurrently herewith, or  
☒ U.S. Serial No.:09/642,655, filed August 22, 2000.

and any and all applications for patent and patents therefor in any and all countries, including all divisions, reissues, continuations and extensions thereof, and all rights of priority resulting from the filing of said United States application, and authorize and request any official whose duty it is to issue patents, to issue any patents on said improvements or resulting therefrom to said General Electric Company, or its successors or assigns and agree that on request and without further consideration, but at the expense of said Company, I will communicate to said Company or its representatives or nominees any facts known to me respecting said improvements and testify in any legal proceeding, sign all lawful papers, execute all divisional, continuing and reissue applications, make all rightful oaths and generally do everything possible to aid said Company, its successors, assigns, and nominees to obtain and enforce proper patent protection for said improvements in all countries.

29 November 2000  
Date

Edward Brittain STOKES

State of New York ) SS:

County of Schenectady )

This 29th day of November, 2000, before me personally came the above-named Edward Brittain Stokes to me personally known as the individual who executed the foregoing assignment, who acknowledged to me that he/she executed the same of his/her own free will for the purposes therein set forth.

Seal

**JEAN G. MYERS**  
Notary Public in the State of New York  
Qualified in Schenectady Co.  
No. 01MY6068350  
My Commission Expires Nov. 11, 2004

Jean G. Myers  
(Notary Public)

11/29/00  
Date

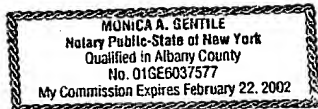
Thomas Francis McNulty  
Thomas Francis MCNULTY

State of New York ) SS:

County of Schenectady )

This 29th day of November, 2000, before me personally came the above-named Thomas Francis McNulty to me personally known as the individual who executed the foregoing assignment, who acknowledged to me that he/she executed the same of his/her own free will for the purposes therein set forth.

Seal



Monica A. Gentile  
(Notary Public)

Nov. 21, 2000  
Date

Daniel Darcy Doxsee  
Daniel Darcy DOXSEE

State of OHIO ) SS:

County of CUYAHOGA )

This 21st day of November, 2000, before me personally came the above-named Daniel Darcy Doxsee to me personally known as the individual who executed the foregoing assignment who acknowledged to me that he/she executed the same of his/her own free will for the purposes therein set forth.

Seal

Rosetta Saraniti  
(Notary Public)

**ROSETTA SARANITI**  
Notary Public, State of Ohio  
Recorded in Cuyahoga County  
My commission expires April 22, 2002

11/29/2000

Date

Alok Mani Srivastava  
Alok Mani SRIVASTAVA

State of New York ) SS:

County of Schenectady )

This 29<sup>th</sup> day of November, 2000, before me personally came the above-named Alok Mani Srivastava to me personally known as the individual who executed the foregoing assignment, who acknowledged to me that he/she executed the same of his/her own free will for the purposes therein set forth.

Seal

JEAN G. MYERS  
Notary Public in the State of New York  
Qualified in Schenectady Co.  
No. 01MY508850  
My Commission Expires Nov. 11, 2002

Jean G Myers  
(Notary Public)

3 December 2000  
Date

Lionel Monty Levinson  
Lionel Monty LEVINSON

State of New York ) SS:

County of Schenectady )

This 2<sup>nd</sup> day of December, 2000, before me personally came the above-named Lionel Monty Levinson to me personally known as the individual who executed the foregoing assignment, who acknowledged to me that he/she executed the same of his/her own free will for the purposes therein set forth.

Seal

JEAN G. MYERS  
Notary Public in the State of New York  
Qualified in Schenectady Co.  
No. 01MY508850  
My Commission Expires Nov. 11, 2002

Jean G Myers  
(Notary Public)

December 14, 2000

Date

Anil B. Duggal

Anil Raj DUGGAL

State of New York SS:

County of Schenectady

This 14<sup>th</sup> day of December, 2000, before me personally came the above-named \_\_\_\_\_ to me personally known as the individual who executed the foregoing assignment, who acknowledged to me that he/she executed the same of his/her own free will for the purposes therein set forth.

Seal

SUSAN M. ZAMPIER  
Notary Public in the State of New York  
Qualified in Saratoga County  
No. 01ZA5069047  
My Commission Expires Nov. 11, 2002

Susan M. Zamper  
(Notary Public)